

Applicant or Patentee: \_\_\_\_\_ Attorney's  
Serial or Patent No.: \_\_\_\_\_ Docket No.: \_\_\_\_\_  
Filed or Issued: \_\_\_\_\_  
For: \_\_\_\_\_

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9 (f) and 1.27 (c)) — SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN SANKYO CO., LTD.

ADDRESS OF CONCERN 2362-1, Oobuchi, Fuji-shi, Shizuoka, Japan

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9 (d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled SOFT CAPSULE

Toshimitsu ISHIKAWA et al. by inventor(s)  
described in

☒ the specification filed herewith

☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9 (d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Toshimitsu ISHIKAWA

TITLE OF PERSON OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING c/o SANKYO CO., LTD., 2362-1, Oobuchi, Fuji-shi, Shizuoka, Japan

SIGNATURE Toshimitsu Ishikawa DATE September 2, 1999

## DECLARATION AND POWER OF ATTORNEY FOR U.S. PATENT APPLICATIONS

(X) Original ( ) Supplemental ( ) Substitute ( ) PCT ( ) DESIGN

As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Title: SOFT GAPSULE

which is described and claimed in:

(X) the attached specification, or  
 ( ) the specification in the application Serial No. \_\_\_\_\_ filed \_\_\_\_\_  
 and with amendments through \_\_\_\_\_ (if applicable),  
 ( ) the specification in International Application No. PCT/ \_\_\_\_\_, filed \_\_\_\_\_,  
 and as amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the content of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge my duty to disclose information of which I am aware which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (and §172 if this application is for a Design) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NO.	DATE OF FILING	PRIORITY CLAIMED
Japan	10-258981	September 11, 1998	(X) YES ( ) NO
			( ) YES ( ) NO
			( ) YES ( ) NO
			( ) YES ( ) NO
			( ) YES ( ) NO
			( ) YES ( ) NO

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

SERIAL NO.	U.S. FILING DATE	STATUS
		( ) Patented ( ) Pending ( ) Abandoned
		( ) Patented ( ) Pending ( ) Abandoned
		( ) Patented ( ) Pending ( ) Abandoned

And I hereby appoint V. M. Creedon, Reg. No. 17111, John T. Miller, Reg. No. 21120, John T. Fedigan, Reg. No. 24347, Michael R. Davis, Reg. No. 25134, Matthew M. Jacob, Reg. No. 25154, Jeffrey Nolton, Reg. No. 25408, and Henry M. Zykorie, Reg. No. 27477, who together constitute the firm of WENDEROTH, LIND & PONACK, jointly and severally, attorneys to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected therewith.

I hereby authorize the U.S. attorneys named herein to accept and follow instructions from KAMMON INTERNATIONAL as to any action to be taken in the U.S. Patent and Trademark Office regarding this application without direct communication between the U.S. attorneys and myself. In the event of a change in the persons from whom instructions may be taken, the U.S. attorneys named herein will be so notified by me.

Send Correspondence to:

Direct Telephone Calls to:

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660160-89TE6660

FULL NAME OF 1ST INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
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RESIDENCE & CITIZENSHIP	CITY	STATE OR COUNTRY	COUNTRY OF CITIZENSHIP
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FULL NAME OF 2ND INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	WADA	Nobuyuki	
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FULL NAME OF 3RD INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
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FULL NAME OF 4TH INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	KAJIMA	Koji	
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	358-1-101, Nakajima, Fuji-shi, Shizuoka, Japan		
FULL NAME OF 5TH INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
RESIDENCE & CITIZENSHIP	CITY	STATE OR COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS	ADDRESS	CITY	STATE OR COUNTRY ZIP CODE
FULL NAME OF 6TH INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
RESIDENCE & CITIZENSHIP	CITY	STATE OR COUNTRY	COUNTRY OF CITIZENSHIP
POST OFFICE ADDRESS	ADDRESS	CITY	STATE OR COUNTRY ZIP CODE

I further declare that all statements made herein of my own knowledge are true, and that all statements on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

1st Inventor Toshimitsu Ishikawa Date September 2, 1999  
 2nd Inventor Nobuyuki Wada Date September 2, 1999  
 3rd Inventor Futao Kawaguchi Date September 2, 1999  
 4th Inventor Koji Kajima Date September 2, 1999  
 5th Inventor \_\_\_\_\_ Date \_\_\_\_\_  
 6th Inventor \_\_\_\_\_ Date \_\_\_\_\_

The above application may be more particularly identified as follows:

U. S. Application Serial No. P10-258981/AM/ Filing Date \_\_\_\_\_  
 Applicant Reference Number SAN/US Atty Docket No. \_\_\_\_\_  
 Title of Invention SOFT CAPSULE